

# UNITED STATES SENATE FINANCIAL DISCLOSURE REPORT FOR ANNUAL AND TERMINATION REPORTS

Last Name		First Name and Middle Initial		Annual Report		Senate Office / Agency in Which Employed	
Harkin		Thomas R.		Calendar Year Covered by Report: 2008		United States Senate	
Senate Office Address (Number, Street, City, State, and ZIP Code)		Senate Office Telephone Number (Include Area Code)		Termination Report		Prior Office / Agency in Which Employed	
Senate Hart #731 Washington, DC 20510		202-224-3254		Termination Date (mm/dd/yyyy):			

## AFTER READING THE INSTRUCTIONS - ANSWER EACH OF THESE QUESTIONS AND ATTACH THE RELEVANT PART

QUESTIONS	YES	NO	QUESTIONS	YES	NO
Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? If Yes, Complete and Attach PART I.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Did you, your spouse, or dependent child receive any reportable travel or reimbursements for travel in the reporting period (i.e., worth more than \$35 from one source)? If Yes, Complete and Attach PART VI.	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Did you or your spouse have earned income (e.g., salaries or fees) or non-reporting period? If Yes, Complete and Attach PART II.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Did you, your spouse, or dependent child have any reportable liability (more than \$10,000) during the reporting period? If Yes, Complete and Attach PART VII.	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Did you, your spouse, or dependent child hold any reportable asset worth more than \$1,000 at the end of the period, or receive unearned or investment income of more than \$200 in the reporting period? If Yes, Complete & Attach PART IIIA and/or IIIB.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Did you hold any reportable positions on or before the date of filing in the current calendar year? If Yes, Complete and Attach PART VIII.	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than \$1,000 in the reporting period? If Yes, Complete and Attach PART IV.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Do you have any reportable agreement or arrangement with an outside entity? If Yes, Complete and Attach PART IX.	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Did you, your spouse, or dependent child receive any reportable gift in the reporting period (i.e., aggregating more than \$335 and not otherwise exempt)? If Yes, Complete and Attach PART V.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	If this is your FIRST Report: Did you receive compensation of more than \$5,000 from a single source in the two prior years? If Yes, Complete and Attach PART X.	<input type="checkbox"/>	<input checked="" type="checkbox"/>

### Each question must be answered and the appropriate PART attached for each "YES" response.

File this report and any amendments with the Secretary of the Senate, Office of Public Records, Room 232, Hart Senate Office Building, U.S. Senate, Washington, DC 20510. \$200 Penalty for filing more than 30 days after due date.

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The statement will be made available by the Office of the Secretary of the Senate to any requesting person upon written application and will be reviewed by the Select Committee on Ethics. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil and criminal sanctions. (See 5 U.S.C. app. 6, 104, and 18 U.S.C. 1001.)

I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.		Signature of Reporting Individual		Date (Month, Day, Year)	
				5/14/09	

It is the Opinion of the reviewer that the statements made in this form are in compliance with Title I of the Ethics in Government Act.		Signature of Reviewing Official		Date (Month, Day, Year)	

For Official Use Only - Do Not Write Below This Line

FOR OFFICIAL USE ONLY  
Do Not Write Below this Line

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MAY 15 PM 1:30  
CLERK OF THE SENATE

Thomas R. Harkin

## PART II. EARNED AND NON-INVESTMENT INCOME

2

Report the source (name and address), type, and amount of earned income to you from any source aggregating \$200 or more during the reporting period. For your spouse, report the source (name and address) and type of earned income which aggregate \$1,000 or more during the reporting period. No amount needs to be specified for your spouse. (See p.3, CONTENTS OF REPORTS Part B of Instructions.) Do not report income from employment by the U.S. Government for you or your spouse.

### Individuals not covered by the Honoraria Ban:

For you and/or your spouse, report honoraria income received which aggregates \$200 or more by exact amount, give the date of, and describe the activity (speech, appearance or article) generating such honoraria payment. Do not include payments in lieu of honoraria reported on Part I.

Name of Income Source		Address (City, State)		Type of Income	Amount
Example:		JP Computers	Wash., DC	Salary	Example \$15,000
MCI (Spouse)		Arlington, VA	Example	Salary	Example Over \$1,000
1	ConocoPhillips (Spouse)	Houston, TX		Salary (includes	Over \$1,000
2				contractual right to	
3				receive stock in	
4				the future)	
5	United Technologies Corp. (Spouse)	Washington, DC		Salary and Pension	Over \$1,000
6				(salary includes	
7				contractual right to	
8				purchase stock in	
9				the future)	
10	AbitibiBowater, Inc. (Spouse)	Montreal, Canada		Salary (includes	Over \$1,000
11				contractual right to	
12				receive stock in	
13				the future)	

**BLOCK A**

## Identity of Publicly Traded Assets And Unearned Income Sources

Report the complete name of each publicly traded asset held by you, your spouse, or your dependent child. (See p. 3, **CONTENTS OF REPORTS Part B of Instructions**) for production of income or investment which:

(1) had a value exceeding \$1,000 at the close of the reporting period; and/or  
(2) generated over \$200 in "unearned" income during the reporting period.

Include on this PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest, excepted investment funds, bank accounts, excepted and qualified blind trusts, and publicly traded assets of a retirement plan.

## BLOCK B

At the close of reporting period,  
If None, or less than \$1,001,  
Check the first column.

## Block C

If "None (or less than \$201)" is Checked, no other entry is needed in Block C for that item. This includes income received or accrued to the benefit of the individual.

CONTENTS OF REPORTS Part B of Instructions) for production of income or investment which:									
(1) had a value exceeding \$1,000 at the close of the reporting period; and/or (2) generated over \$200 in "unearned" income during the reporting period.									
Include on this PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest, excepted investment funds, bank accounts, excepted and qualified blind trusts, and publicly traded assets of a retirement plan.									
Example: DC, or J	S, IBM Corp. (stock) KeyStone Fund	(S)							
1 J	Amgen	X							
2 J	BP PLC Spans ADR	X							
3 J	Berkshire Hathaway Inc. Class B	X							
4 J	Cisco Sys. Inc.	X							
5 J	Dell, Inc.	X							
6 J	Genentech, Inc.	X							
7 J	Home Depot, Inc.	X							
8 J	Intel, Inc.	X							
9 J	Johnson and Johnson		X						
10 J	Microsoft Corp.	X							
		None (or less than \$1,001)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000***
		\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	None	Dividends	Rent	Interest
		Capital Gains	Excepted Investment Fund	Excepted Trust	Qualified Blind Trust	Other (Specify Type)	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500
		\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	Over \$5,000,000
		Actual Amount	Require if "Other" Specified	Example	Example	Example	Example	Example	Example

**EXEMPTION TEST** (see instructions before marking box): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right.

\*\*\* This category applies only if the asset *is* was held independently by the spouse or dependent child. If the asset *is* was either held by the filer or jointly held, use the other categories of value, as appropriate.



Thomas R. Harkin

# PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

## BLOCK A Identity of Publicly Traded Assets And Unearned Income Sources

Report the complete name of each publicly traded asset held by you, your spouse, or your dependent child. (See p. 3, **CONTENTS OF REPORTS Part B of Instructions**) for production of income or investment which:

- (1) had a value exceeding \$1,000 at the close of the reporting period; and/or
  - (2) generated over \$200 in "unearned" income during the reporting period.
- Include on this PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest, excepted investment funds, bank accounts, excepted and qualified blind trusts, and publicly traded assets of a retirement plan.

## BLOCK B Valuation of Assets

At the close of reporting period. If None, or less than \$1,001, Check the first column.

## BLOCK C Type and Amount of Income

If "None (or less than \$201)" is Checked, no other entry is needed in Block C for that item. This includes income received or accrued to the benefit of the individual.

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**EXEMPTION TEST (see instructions before marking box):** If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right.

\*\*\* This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.

### PART IIIA. PUBLICLY TRADED ASSETS AND LINEARIZED MODELS

## BLOCK A

### Identity of Publicly Traded Assets And Unearned Income Sources

Report the complete name of each publicly traded asset held by you, your spouse, or your dependent child. (See p. 3.)

**CONTENTS OF REPORTS Part B of Instructions** for production of income or investment which:

## BLOCK B

### Valuation of Assets

At the close of reporting period  
If None, or less than \$1,001,  
Check the first column.

**BLOCK C**  
**Type and Amount of Income**

If "None (or less than \$204)" is Checked, no other entry is needed in Block C for that item. This includes income received or accrued to the benefit of the individual.

CONTENTS OF REPORTS Part B of Instructions) for production of income or investment which:					
	(1)	(2)			
	had a value exceeding \$1,000 at the close of the reporting period; and/or	generated over \$200 in "unearned" income during the reporting period.			
	Include on this PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest, accepted investment funds, bank accounts, excepted and qualified blind trusts, and publicly traded assets of a retirement plan.				
Example: DC, or J	S, IBM Corp. (stock) KeyStone Fund	(S)			
None (or less than \$1,001)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000
\$500,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000
None	Dividends	Rent	Interest	Capital Gains	Excepted Investment Fund
Excepted Trust	Qualified Blind Trust	Other (Specify Type)			
None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000
\$50,001 - \$100,000	\$100,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	Over \$5,000,000	
Actual Amount	Require if Other Specified				
1 S	ConocoPhillips Corp.			X	
2 S	1st Century Bancshares, Inc.				
3 S	United Technologies Corp.				
4 S	Abitibi Bowater, Inc.	X			
5 S	Principal Financial	X			
6 S	Xcel Corp.		X		
7 S	Citibank NA S. Dak Bank Dep. Prog.			X	
8 S	Western Asset Inst. Muni Money Mk't. Fund				X
9 S	West Des Moines State Bank SEP		X		
10 S	West Des Moines State Bank			X	

**EXEMPTION TEST** (*see instructions before marking box*): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right.

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Thomas R. Harkin

## PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

Page Number

6

BLOCK A  
Identity of Publicly Traded Assets  
And Unearned Income Sources

Report the complete name of each publicly traded asset held by you, your spouse, or your dependent child. (See p. 3, **CONTENTS OF REPORTS Part B of Instructions**) for production of income or investment which:

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BLOCK B  
Valuation of Assets

At the close of reporting period. If None, or less than \$1,001, Check the first column.

BLOCK C  
Type and Amount of Income

If "None (or less than \$201)" is Checked, no other entry is needed in Block C for that item. This includes income received or accrued to the benefit of the individual.

## Type of Income

## Amount of Income

Actual Amount  
Require:  
if  
"Other"  
Specify:

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☐

## PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

BLOCK A  
Identity of Publicly Traded Assets  
And Unearned Income Sources

Report the complete name of each publicly traded asset held by you, your spouse, or your dependent child. (See p.3, **CONTENTS OF REPORTS Part B of Instructions**) for production of income or investment which:

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BLOCK B  
Valuation of Assets

At the close of reporting period:  
If None, or less than \$1,001,  
Check the first column.

BLOCK C  
Type and Amount of Income

If "None (or less than \$201)" is checked, no other entry is needed in Block C for that item. This includes income received or accrued to the benefit of the individual.

## Type of Income

## Amount of Income

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			None (or less than \$1,001)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																					
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EXEMPTION TEST (See instructions before marking box): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right.

\*\*\* This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.

☐

## PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

BLOCK A  
Identity of Publicly Traded Assets  
And Unearned Income Sources

Report the complete name of each publicly traded asset held by you, your spouse, or your dependent child. (See p.3, **CONTENTS OF REPORTS Part B of Instructions**) for production of income or investment which:

- (1) had a value exceeding \$1,000 at the close of the reporting period; and/or  
(2) generated over \$200 in "unearned" income during the reporting period.
- Include on this PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest, excepted investment funds, bank accounts, excepted and qualified blind trusts, and publicly traded assets of a retirement plan.

BLOCK B  
Valuation of Assets

At the close of reporting period.  
If None, or less than \$1,001,  
Check the first column.

BLOCK C  
Type and Amount of Income

If "None (or less than \$201)" is Checked, no other entry is needed in Block C for that item. This includes income received or accrued to the benefit of the individual.

## Type of Income

## Amount of Income

CONTENTS OF REPORTS Part B of Instructions) for production of income or investment which:													Type of Income													Amount of Income																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																							
(1) had a value exceeding \$1,000 at the close of the reporting period; and/or (2) generated over \$200 in "unearned" income during the reporting period. Include on this PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest, excepted investment funds, bank accounts, excepted and qualified blind trusts, and publicly traded assets of a retirement plan.													None (or less than \$1,001) \$1,001 - \$15,000 \$15,001 - \$50,000 \$50,001 - \$100,000 \$100,001 - \$250,000 \$250,001 - \$500,000 \$500,001 - \$1,000,000 Over \$1,000,000*** \$1,000,001 - \$5,000,000 \$5,000,001 - \$25,000,000 \$25,000,001 - \$50,000,000 Over \$50,000,000													None Dividends Rent Interest Capital Gains Excepted Investment Fund Excepted Trust Qualified Blind Trust Other (Specify Type) None (or less than \$201) \$201 - \$1,000 \$1,001 - \$2,500 \$2,501 - \$5,000 \$5,001 - \$15,000 \$15,001 - \$50,000 \$50,001 - \$100,000 \$100,001 - \$1,000,000 Over \$1,000,000*** \$1,000,001 - \$5,000,000 Over \$5,000,000													Actual Amount Require if "Other" Specified																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																										
Example: S, DC, or J													IBM Corp. (stock)													KeyStone Fund													Example													Example																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																													
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EXEMPTION TEST (see instructions before marking box): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right.

\*\*\* This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.

☐

**PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES**

## BLOCK A

### Identity of Publicly Traded Assets And Unearned Income Sources

Report the complete name of each publicly traded asset held by you, your spouse, or your dependent child. (See p. 3, **CONTENTS OF REPORTS Part B of Instructions**) for production of income or investment which:

## BLOCK B

### Valuation of Assets

**At the close of reporting period  
If None, or less than \$1,001,  
Check the first column.**

**BLOCK C**  
**Type and Amount of Income**

**If "None (or less than \$204)" is Checked, no other entry is needed in Block C for that item. This includes income received or accrued to the benefit of the individual.**

CONTENTS OF REPORTS Part B of Instructions) for production of income or investment which:									
	(1) had a value exceeding \$1,000 at the close of the reporting period; and/or								
	(2) generated over \$200 in "unearned" income during the reporting period.								
	Include on this PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest, excepted investment funds, bank accounts, excepted and qualified blind trusts, and publicly traded assets of a retirement plan.								
Example: DC, or J	S, IBM Corp. (stock)	(S) Keystone Fund							
1 S	Harbor Cap Appreciation Fund								
2 S	Harris Assoc. Inv. Oakmark Fund								
3 S	Julius Baer Inv. Intl. Equity		X						
4 S	Marsico Investment Growth Fund			X					
5 S	Metro West FDS Low Duration								
6 S	Virtus (formerly Phoenix) Opportunities Tr.								
7 S	PIMCO Total Return Fund								
8 S	Rydex Ser. Fds. Sector Rotation CI H								
9 S	Vanguard Fixed Income Interned. Term Treas.								
10 S	LPL Premier Money Market Shares (IRA)								

**EXEMPTION TEST (see instructions before marking box):** If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right.

\*\*\* This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other category.

... of the item or joining item, use the other categories of value, as appropriate

PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

BLOCK A  
Identity of Publicly Traded Assets  
And Unearned Income Sources

Report the complete name of each publicly traded asset held by you, your spouse, or your dependent child. (See p.3, CONTENTS OF REPORTS Part B of Instructions) for production of income or investment which:

(1) had a value exceeding \$1,000 at the close of the reporting period; and/or

(2) generated over \$200 in "unearned" income during the reporting period.

Include on this PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest, excepted investment funds, bank accounts, excepted and qualified blind trusts, and publicly traded assets of a retirement plan.

BLOCK B  
Valuation of Assets

At the close of reporting period. If None, or less than \$1,001, Check the first column.

BLOCK C  
Type and Amount of Income

If "None (or less than \$201)" is Checked, no other entry is needed in Block C for that item. This includes income received or accrued to the benefit of the individual.

Example: DC, or J			Type of Income										Amount of Income										Actual Amount Required if "Other" Specified
			None (or less than \$1,001)										None (or less than \$201)										
Example: S, or J			None (or less than \$1,001)										None (or less than \$201)										Example
IBM Corp. (stock)			None (or less than \$1,001)										None (or less than \$201)										
KeyStone Fund			None (or less than \$1,001)										None (or less than \$201)										Example
Example: S, or J			None (or less than \$1,001)										None (or less than \$201)										
Example: S, or J			None (or less than \$1,001)										None (or less than \$201)										Example
Example: S, or J			None (or less than \$1,001)										None (or less than \$201)										
Example: S, or J			None (or less than \$1,001)										None (or less than \$201)										Example
Example: S, or J			None (or less than \$1,001)										None (or less than \$201)										
Example: S, or J			None (or less than \$1,001)										None (or less than \$201)										Example
Example: S, or J			None (or less than \$1,001)										None (or less than \$201)										
Example: S, or J			None (or less than \$1,001)										None (or less than \$201)										Example
Example: S, or J			None (or less than \$1,001)										None (or less than \$201)										
Example: S, or J			None (or less than \$1,001)										None (or less than \$201)										Example
Example: S, or J			None (or less than \$1,001)										None (or less than \$201)										
Example: S, or J			None (or less than \$1,001)										None (or less than \$201)										Example
Example: S, or J			None (or less than \$1,001)										None (or less than \$201)										
Example: S, or J			None (or less than \$1,001)										None (or less than \$201)										Example
Example: S, or J			None (or less than \$1,001)										None (or less than \$201)										
Example: S, or J			None (or less than \$1,001)										None (or less than \$201)										Example
Example: S, or J			None (or less than \$1,001)										None (or less than \$201)										
Example: S, or J			None (or less than \$1,001)										None (or less than \$201)										Example
Example: S, or J			None (or less than \$1,001)										None (or less than \$201)										
Example: S, or J			None (or less than \$1,001)										None (or less than \$201)										Example
Example: S, or J			None (or less than \$1,001)										None (or less than \$201)										
Example: S, or J			None (or less than \$1,001)										None (or less than \$201)										Example
Example: S, or J			None (or less than \$1,001)										None (or less than \$201)										
Example: S, or J			None (or less than \$1,001)										None (or less than \$201)										Example
Example: S, or J			None (or less than \$1,001)										None (or less than \$201)										
Example: S, or J			None (or less than \$1,001)										None (or less than \$201)										Example
Example: S, or J			None (or less than \$1,001)										None (or less than \$201)										
Example: S, or J			None (or less than \$1,001)										None (or less than \$201)										Example
Example: S, or J			None (or less than \$1,001)										None (or less than \$201)										
Example: S, or J			None (or less than \$1,001)										None (or less than \$201)										Example
Example: S, or J			None (or less than \$1,001)										None (or less than \$201)										
Example: S, or J			None (or less than \$1,001)										None (or less than \$201)										Example
Example: S, or J			None (or less than \$1,001)										None (or less than \$201)										
Example: S, or J			None (or less than \$1,001)										None (or less than \$201)										Example
Example: S, or J			None (or less than \$1,001)										None (or less than \$201)										
Example: S, or J			None (or less than \$1,001)										None (or less than \$201)										Example
Example: S, or J			None (or less than \$1,001)										None (or less than \$201)										
Example: S, or J			None (or less than \$1,001)										None (or less than \$201)										Example
Example: S, or J			None (or less than \$1,001)										None (or less than \$201)										
Example: S, or J			None (or less than \$1,001)										None (or less than \$201)										Example
Example: S, or J			None (or less than \$1,001)										None (or less than \$201)										
Example: S, or J			None (or less than \$1,001)										None (or less than \$201)										Example
Example: S, or J			None (or less than \$1,001)										None (or less than \$201)										
Example: S, or J			None (or less than \$1,001)										None (or less than \$201)										Example
Example: S, or J			None (or less than \$1,001)										None (or less than \$201)										
Example: S, or J			None (or less than \$1,001)										None (or less than \$201)										Example
Example: S, or J			None (or less than \$1,001)										None (or less than \$201)										
Example: S, or J			None (or less than \$1,001)										None (or less than \$201)										Example
Example: S, or J			None (or less than \$1,001)										None (or less than \$201)										
Example: S, or J			None (or less than \$1,001)										None (or less than \$201)										Example
Example: S, or J			None (or less than \$1,001)										None (or less than \$201)										
Example: S, or J			None (or less than \$1,001)										None (or less than \$201)										Example
Example: S, or J			None (or less than \$1,001)										None (or less than \$201)										
Example: S, or J			None (or less than \$1,001)										None (or less than \$201)										Example
Example: S, or J			None (or less than \$1,001)										None (or less than \$201)										
Example: S, or J			None (or less than \$1,001)										None (or less than \$201)										Example
Example: S, or J			None (or less than \$1,001)										None (or less than \$201)										
Example: S, or J			None (or less than \$1,001)										None (or less than \$201)										Example
Example: S, or J			None (or less than \$1,001)										None (or less than \$201)										
Example: S, or J			None (or less than \$1,001)										None (or less than \$201)										Example
Example: S, or J			None (or less than \$1,001)										None (or less than \$201)										
Example: S, or J			None (or less than \$1,001)										None (or less than \$201)										Example
Example: S, or J			None (or less than \$1,001)										None (or less than \$201)										
Example: S, or J			None (or less than \$1,001)										None (or less than \$201)										Example
Example: S, or J			None (or less than \$1,001)										None (or less than \$201)										
Example: S, or J			None (or less than \$1,001)										None (or less than \$201)										Example
Example: S, or J			None (or less than \$1,001)										None (or less than \$201)										
Example: S, or J			None (or less than \$1,001)										None (or less than \$201)										Example
Example: S, or J			None (or less than \$1,001)										None (or less than \$201)										
Example: S, or J			None (or less than \$1,001)										None (or less than \$201)										Example
Example: S, or J			None (or less than \$1,001)										None (or less than \$201)										
Example: S, or J			None (or less than \$1,001)										None (or less than \$201)										Example
Example: S, or J			None (or less than \$1,001)										None (or less than \$201)										
Example																							

EXEMPTION TEST (see instructions before marking box): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right.

\*\*\* This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.

## PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

BLOCK A  
Identity of Publicly Traded Assets  
And Unearned Income Sources

Report the complete name of each publicly traded asset held by you, your spouse, or your dependent child. (See p.3, CONTENTS OF REPORTS Part B of Instructions) for production of income or investment which:

(1) had a value exceeding \$1,000 at the close of the reporting period; and/or  
(2) generated over \$200 in "unearned" income during the reporting period.  
Include on this PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest, excepted investment funds, bank accounts, excepted and qualified blind trusts, and publicly traded assets of a retirement plan.

BLOCK B  
Valuation of Assets

At the close of reporting period, if None, or less than \$1,001, Check the first column.

None (or less than \$1,001)  
\$1,001 - \$15,000  
\$15,001 - \$50,000  
\$50,001 - \$100,000  
\$100,001 - \$250,000  
\$250,001 - \$500,000  
\$500,001 - \$1,000,000  
Over \$1,000,000\*\*\*  
\$1,000,001 - \$5,000,000  
\$5,000,001 - \$25,000,000  
\$25,000,001 - \$50,000,000  
Over \$50,000,000

BLOCK C  
Type and Amount of Income

If "None (or less than \$201)" is Checked, no other entry is needed in Block C for that item. This includes income received or accrued to the benefit of the individual.

## Type of Income

None  
Dividends  
Rent  
Interest  
Capital Gains  
Excepted Investment Fund  
Excepted Trust  
Qualified Blind Trust  
Other (Specify Type)

## Amount of Income

None (or less than \$201)  
\$201 - \$1,000  
\$1,001 - \$2,500  
\$2,501 - \$5,000  
\$5,001 - \$15,000  
\$15,001 - \$50,000  
\$50,001 - \$100,000  
\$100,001 - \$1,000,000  
Over \$1,000,000\*\*\*  
\$1,000,001 - \$5,000,000  
Over \$5,000,000

Actual Amount  
Require if "Other" Specific

S, or J	IBM Corp. (stock)	(S) Keystone Fund												Example
1 S	Rydex Ser. Fds. Sector Rotation CI H (IRA)													Example
2 S	Vanguard Fixed Inc. Secs. Short Term (IRA)													Example
3 S	Alexandria VA Series 2006A B/E													
4 S	Arlington Cnty VA Public Improvement B/E													
5 S	Capital Region Airport Series FSA B/E													
6 S	Chesapeake VA Ref PI CPN													
7 S	Chesapeake VA Rtdg Water & Sewer B/E CPN													
8 S	Fairfax Cty VA Econ. Dev. Rev. Rte 28 PJ													
9 S	Fairfax Cty VA Water Auth. Rev. Rtdg. 4%													
10 S	Fairfax Cty VA Water Auth. Rev. Rtdg. 5%													

EXEMPTION TEST (see instructions before marking box): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right.  
\*\*\* This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.



**PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES**

## BLOCK A

### Identity of Publicly Traded Assets And Unearned Income Sources

Report the complete name of each publicly traded asset held by you, your spouse, or your dependent child. (See p. 3.)

**CONTENTS OF REPORTS Part B of Instructions** for production of income or investment which:

(1) had a value exceeding \$1,000 at the close of the reporting period; and/or

(2) generated over \$200 in "unearned" income during the reporting period.

Include on this PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest, excepted investment funds, bank accounts, excepted and qualified blind trusts, and publicly traded assets of a retirement plan.

## BLOCK B

### Valuation of Assets

At the close of reporting period  
If None, or less than \$1,001,  
Check the first column.

[illegible]

**EXEMPTION TEST (see instructions before marking box):** If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right.

\*\*\* This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.

## BLOCK A

### Identity of Publicly Traded Assets And Unearned Income Sources

Report the complete name of each publicly traded asset held by you, your spouse, or your dependent child. (See p.3, **CONTENTS OF REPORTS Part B of Instructions**) for production of income or investment which:

(11) had a value exceeding \$1,000 at the close of the reporting period; and/or  
(2) generated over \$200 in "unearned" income during the reporting period.

Include on this PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest, excepted investment funds, bank accounts, excepted and qualified blind trusts, and publicly traded assets of a retirement plan.

## BLOCK B

### Valuation of Assets

**At the close of reporting period  
If None, or less than \$1,001,  
Check the first column.**

[illegible]

**BLOCK C**  
**Type and Amount of Income**

If "None (or less than \$201)" is Checked, no other entry is needed in Block C for that item. This includes income received or accrued to the benefit of the individual.

## Type of Income

## Amount of Income

[illegible]

**EXEMPTION TEST (see instructions before marking box):** If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right.

\*\*\* This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.



Thomas R. Harkin

## PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

14

BLOCK A  
Identity of Publicly Traded Assets  
And Unearned Income Sources

Report the complete name of each publicly traded asset held by you, your spouse, or your dependent child. (See p.3, **CONTENTS OF REPORTS Part B of Instructions**) for production of income or investment which:

- (1) had a value exceeding \$1,000 at the close of the reporting period; and/or  
(2) generated over \$200 in "unearned" income during the reporting period.
- Include on this PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest, excepted investment funds, bank accounts, excepted and qualified blind trusts, and publicly traded assets of a retirement plan.

BLOCK B  
Valuation of Assets

At the close of reporting period.  
If None, or less than \$1,001,  
Check the first column.

BLOCK C  
Type and Amount of Income

If "None (or less than \$201)" is checked, no other entry is needed in Block C for that item. This includes income received or accrued to the benefit of the individual.

## Type of Income

## Amount of Income

Actual  
Amount  
Require  
if  
"Other"  
Specify

CONTENTS OF REPORTS Part B of Instructions for production of income or investment which:											
(1) had a value exceeding \$1,000 at the close of the reporting period; and/or											
(2) generated over \$200 in "unearned" income during the reporting period.											
Include on this PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest, excepted investment funds, bank accounts, excepted and qualified blind trusts, and publicly traded assets of a retirement plan.											
S, DC, or J	IBM Corp. (stock)										
		(S)	Keystone Fund								
1 S	Virginia St. Rfdg. Series										
2 S	ING American Funds Growth-Income Port. (annuity)										
3 S	ING American Funds Growth Port. (annuity)										
4 S	ING FMR SM Diversified Mid Cap (annuity)										
5 S	ING Templeton Global Growth Port (annuity)										
6											
7											
8											
9											
10											
		None (or less than \$1,001)									
		\$1,001 - \$15,000									
		\$15,001 - \$50,000									
		\$50,001 - \$100,000									
		\$100,001 - \$250,000									
		\$250,001 - \$500,000									
		\$500,001 - \$1,000,000									
		Over \$1,000,000***									
		\$1,000,001 - \$5,000,000									
		\$5,000,001 - \$25,000,000									
		\$25,000,001 - \$50,000,000									
		Over \$50,000,000									
		None									
		Dividends									
		Rent									
		Interest									
		Capital Gains									
		Excepted Investment Fund									
		Excepted Trust									
		Qualified Blind Trust									
		Other (Specify Type)									
		None (or less than \$201)									
		\$201 - \$1,000									
		\$1,001 - \$2,500									
		\$2,501 - \$5,000									
		\$5,001 - \$15,000									
		\$15,001 - \$50,000									
		\$50,001 - \$100,000									
		\$100,001 - \$1,000,000									
		Over \$1,000,000***									
		\$1,000,001 - \$5,000,000									
		Over \$5,000,000									
		Actual Amount									
		Require if "Other Specified"									

EXEMPTION TEST (see instructions before marking box): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right.

\*\*\* This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.

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Thomas R. Harkin

## PART IV. TRANSACTIONS

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Report any purchase, sale, or exchange by you, your spouse, or dependent child (See p. 3 CONTENTS OF REPORTS Part B of Instructions) during the reporting period of any real property, stocks, bonds, commodity futures, and other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Do not report a transaction involving property used solely as your personal residence, or a transaction between you, your spouse, or dependent child. Please clarify which two properties are involved in any reportable exchange.

Report any purchase, sale, or exchange by you, your spouse, or dependent child (See p.3 CONTENTS OF REPORTS Part B of Instructions) during the reporting period of any real property, stocks, bonds, commodity futures, and other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Do not report a transaction involving property used solely as your personal residence, or a transaction between you, your spouse, or dependent child. Please clarify which two properties are involved in any reportable exchange.				Transaction Type (x)		Transaction Date (Mo., Day, Yr.)	Amount of Transaction (x)												
				Purchase	Sale		Exchange	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	
Identification of Assets																			
Example: S, or J				IBM Corp. (stock) NYSE	X		2/1/0X		X				E	X	A	M	P	L	E
				(DC) Microsoft (stock) NASDAQ/OTC		X	1/27/0X					X	E	X	A	M	P	L	E
1	J	Wm. Wrigley Jr., Co.				X	10/6/08		X										
2	S	Conoco Phillips Corp.		X	X		9/10/08			X									
3	S	Abitibi Bowater, Inc.		X			6/10/08				X								
4	S	Principal Financial		X	X		12/3, 12/30/08			X									
5	S	Ivy Asset Strategy Fund		X	X		3/4, 12/9/08					X							
6	S	Ivy Ltd-Term BD FD CL C		X			12/9/08						X						
7	S	Janus Adviser Ser Long-Short FD CL C		X			3/4/08						X						
8	S	Oberweis Fds Emerging Growth SBI			X		12/22/08			X									
9	S	Vanguard Intl Equity Index Emerging Markets		X			2/21/08				X								
10	S	Harbor Capital Apprec Fund (IRA)		X			2/21/08			X									
11	S	Ishares Tr. MSCI Emerging Markets Index		X			8/20/08				X								
12	S	Julius Baer Inv. Intl. Equity		X			8/20/08				X								

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## PART IV. TRANSACTIONS

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Identification of Assets		Transaction Type (x)			Transaction Date (Mo., Day, Yr.)	Amount of Transaction (x)													
		Purchase	Sale	Exchange		\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000			
Example: S, or J	IBM Corp. (stock) NYSE	X			2/1/0X		X												
	(DC) Microsoft (stock) NASDAQ/OTC		X		1/27/0X				X	E	X	A	M	P	L	E			
1	S				8/20/08		X												
2	S		X		8/20/08		X												
3	S		X		8/20/08		X												
4	S				2/21/08		X												
5																			
6																			
7																			
8																			
9																			
10																			
11																			
12																			

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